



FORM PTO-1449 (10-96 MODIFIED)  
LIST OF PUBLICATIONS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<i>Complete if Known</i>	
				Application Number	09/824,965
				Filing Date	April 3, 2001
				First Named Inventor	Tomohiro Kawase
				Group Art Unit	1765
				Examiner Name	Robert Kunemund
Sheet	1	of	1	Attorney Docket Number	11542/1

U.S. PATENT DOCUMENTS					
Examiner Initials*	Document Number	Date	Name of Patentee or Applicant	Class/SubClass	Filing Date (if appropriate)

FOREIGN DOCUMENTS						
Examiner Initials*	Document Number	Date	Country	Class/SubClass	Translation	
					Yes	No
					<input type="checkbox"/>	<input type="checkbox"/>
					<input type="checkbox"/>	<input type="checkbox"/>
					<input type="checkbox"/>	<input type="checkbox"/>

OTHER DOCUMENTS		
Examiner Initials*	Document Number	Author, Title, Date, Pertinent Pages, Etc.
RK	AV	H.D. Marshall & D.W. DeCuir; "A novel technique to reduce the concentration of carbon in LEC gallium arsenide"; pages 960 - 962 of Journal of Crystal Growth 110 (1991) North Holland.

Examiner Signature	/Robert Kunemund/	Date Considered	10/04/2006
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- \* **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Sheet 1 of 1

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12967-002001	Application No. 09/824,965
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Tomohiro Kawase et al.	
		Filing Date April 3, 2001	Group Art Unit 1765

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
RR	AY	Letter, Charles W. Bradley to John B. Pegram, January 29, 2003 (1 p.)
RR	AZ	Declaration of Hunter D. Marshall, undated (5 pp.)

Examiner Signature /Robert Kunemund/	Date Considered 10/04/2006
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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Substitute Disclosure Form (PTO-1449)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	09/824,965
Filing Date	April 3, 2001
First Named Inventor	Kawase et al
Art Unit	1765
Examiner Name	Robert Kunemund
Attorney Docket Number	12967-002001

Sheet 1 of 1

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AC	Frank, Ch., et al., "Description of Facet Growth During BGF Growth," Cryst. Res. Technol., 29 (1994)1, pp. K12-16	
	AD	Frank C., et al., "Growth of Semiinsulating GaAs Crystals by Vertical Gradient Freez Technique," Cryst. Res. Technol., 30 (1995) 7, pp. 897-909.	
	AE	Bourret, E.D., et al., "Effects of Total Liquid Encapsulation on the Characteristics of GaAs Single Crystals Grown...", J. Cryst. Gr. 11 (1991), pp. 395-404.	
	AF	Hein, K., et al. "Die Kristallisation aus Schmelzen als metallurgischer Prozeß," Metall, 47, Jahrgang, Heft 10, October 1993.	
	AG	Flade, et al. "Entwicklung großflächiger GaAs-Substrate," Freiburger, June 20, 1995.	
	AH	Marshall et al., "A novel technique to reduce the concentration of Carbon in LEC gallium arsenide," J. Cryst. Growth, 110 (1991), pp. 960-962.	
	D4	Dissertation of Christian Frank, 1995, Technische Universität-Bergakademie Freiberg (D4A Catalogue Data re Publication Year) (Partial Translation)	✓
	D5	Diploma paper Matthias Muller, Sept. 15, 1993, Universität Erlangen-Nürnberg (D5A Letter re Publication Date) (Partial Translation)	✓

Examiner Signature		Date Considered	11/2/05
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<sup>1</sup> Applicant's unique citation designation number, (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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Sheet 1

of 1

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Application Number	09/824,965
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First Named Inventor	Kawase et al.
Art Unit	1765
Examiner Name	Robert Kunemund
Attorney Docket Number	12967-002001

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
JP		US- 5041186	08-20-1991	Nishio, et al.	
		US- 5400742	03-28-1995	Nishio, et al.	
		US- 5471945	12-05-1995	Nishio, et al.	
		US- 5387544	02-07-1995	Hayafuji	
		US- 4478675	10-23-1984	Akai	
		US- 5186784	02-16-1993	Rau et al.	
		US- 5259916	11-09-1993	Rau et al.	
		US- 5415125	05-16-1995	Fujita et al.	
		US- 4083748	04-11-1978	Gault	
		US- 4404172	09-13-1983	Gault	
		US- 4521272	06-04-1985	Gault	
		US- 5342475	08-30-1994	Yoshida et al.	
		US- 4946544	08-07-1990	Ejim	
		US- 5256381	10-26-1993	Tada et al.	
		US- 5145550	09-08-1992	Tada et al.	
A		US- 4923561	05-08-1990	Chemans et al.	
		US- 4678534	07-07-1987	Tada et al.	
		US-			
		US-			

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
JP	AA	64-37833	02-08-1989	Yamamoto et al.		✓
	AB	59-054699	03-29-1984	Kokubu et al.		

Examiner  
Signature

Date

Considered

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